

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

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:  
SECURITIES AND EXCHANGE COMMISSION, :  
:  
Plaintiff, :  
:  
- against - :  
:  
BEAR, STEARNS & CO. INC., :  
:  
Defendant. :

Civil Action No.

03 Civ. 2937 (WHP)

**PLAINTIFF SEC'S NOTICE  
OF FILING OF REPORT  
FROM THE FINRA INVESTOR  
EDUCATION FOUNDATION  
(THIRD QUARTER 2012)**

-----X  
-----X  
:  
SECURITIES AND EXCHANGE COMMISSION, :  
:  
Plaintiff, :  
:  
- against - :  
:  
JACK BENJAMIN GRUBMAN, :  
:  
Defendant. :

Civil Action No.

03 Civ. 2938 (WHP)

-----X  
-----X  
:  
SECURITIES AND EXCHANGE COMMISSION, :  
:  
Plaintiff, :  
:  
- against - :  
:  
J.P. MORGAN SECURITIES INC., :  
:  
Defendant. :

Civil Action No.

03 Civ. 2939 (WHP)

-----X  
:  
SECURITIES AND EXCHANGE COMMISSION, :  
:  
Plaintiff, : Civil Action No.  
:  
- against - : 03 Civ. 2940 (WHP)  
:  
LEHMAN BROTHERS, INC., :  
:  
Defendant. :  
-----X

-----X  
:  
SECURITIES AND EXCHANGE COMMISSION, :  
:  
Plaintiff, : Civil Action No.  
:  
- against - : 03 Civ. 2941 (WHP)  
:  
MERRILL LYNCH, PIERCE, FENNER & :  
SMITH INCORPORATED, :  
:  
Defendant. :  
-----X

-----X  
:  
SECURITIES AND EXCHANGE COMMISSION, :  
:  
Plaintiff, : Civil Action No.  
:  
- against - : 03 Civ. 2942 (WHP)  
:  
U.S. BANCORP PIPER JAFFRAY, INC., :  
:  
Defendant. :  
-----X

-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	03 Civ. 2943 (WHP)
- against -	:	
	:	
UBS WARBURG LLC,	:	
	:	
Defendant.	:	
-----X	:	
-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	03 Civ. 2944 (WHP)
- against -	:	
	:	
GOLDMAN, SACHS & CO.,	:	
	:	
Defendant.	:	
-----X	:	
-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	03 Civ. 2945 (WHP)
- against -	:	
	:	
CITIGROUP GLOBAL MARKETS, INC., F/K/A	:	
SALOMON SMITH BARNEY INC.,	:	
	:	
Defendant.	:	
-----X	:	

-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	03 Civ. 2946 (WHP)
- against -	:	
	:	
CREDIT SUISSE FIRST BOSTON LLC,	:	
F/K/A CREDIT SUISSE FIRST BOSTON	:	
CORPORATION,	:	
	:	
Defendant.	:	
-----X	:	
-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	03 Civ. 2947 (WHP)
- against -	:	
	:	
HENRY McKELVEY BLODGET,	:	
	:	
Defendant.	:	
-----X	:	
-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	03 Civ. 2948 (WHP)
- against -	:	
	:	
MORGAN STANLEY & CO. INCORPORATED,	:	
	:	
Defendant.	:	
-----X	:	

-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	04 Civ. 6909 (WHP)
- against -	:	
	:	
DEUTSCHE BANK SECURITIES INC.,	:	
	:	
Defendant.	:	
-----X	:	
-----X	:	
SECURITIES AND EXCHANGE COMMISSION,	:	
	:	Civil Action No.
Plaintiff,	:	
	:	04 Civ. 6910 (WHP)
- against -	:	
	:	
THOMAS WEISEL PARTNERS LLC,	:	
	:	
Defendant.	:	
-----X	:	

Paragraph 8 of the Order Regarding Investor Education entered September 2, 2005 required that, among other things, the FINRA Investor Education Foundation (the "Foundation") provide the SEC with quarterly reports, that such reports contain certain information, and that the SEC file such reports with the Court.

Attached is the Foundation's report for the quarter ended September 30, 2012. The SEC staff reviewed a draft of the report, conferred with representatives of the Foundation about its contents, and believes that the attached report conforms with the Court's Order of September 2, 2005.

Date: November 30, 2012

Respectfully submitted,

A handwritten signature in blue ink, appearing to read "M. Alexander Koch", is written over a horizontal line.

M. Alexander Koch  
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Fax: (202) 772-9442  
[kocha@sec.gov](mailto:kocha@sec.gov)  
Attorney for Plaintiff



**CERTIFICATE OF SERVICE**

I hereby certify that, on November 30, 2012, I caused the foregoing Notice of Plaintiff Securities and Exchange Commission to be served on the following by e-mail transmission pursuant to agreement among the parties:

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Date: November 30, 2012



M. Alexander Koch